



Receipt

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

U.S. application of: Douglas R. Elliott

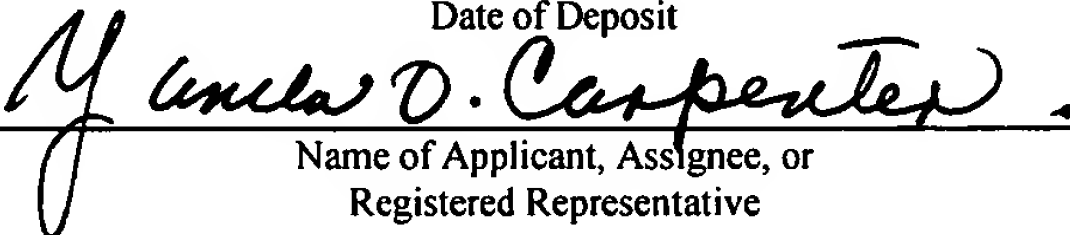
For: METHOD OF REPEATEDLY SECURITIZING INTELLECTUAL  
PROPERTY ASSETS AND FACILITATING INVESTMENTS  
THEREIN

U.S. Serial No.: 09/758,624 Filed: January 11, 2001

Group Art Unit: 2165 Examiner: N/A

**Attn: Application Processing  
Division**  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on:	
May 25, 2001	
Date of Deposit	
	
Name of Applicant, Assignee, or Registered Representative	

**REQUEST FOR CORRECTED FILING RECEIPT**

Enclosed is a copy of the official filing receipt received from the U. S. Patent and Trademark Office for the above-identified patent application in which issuance of corrected filing receipt is respectfully requested.

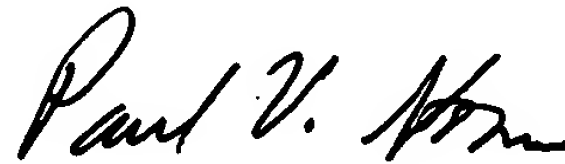
There is an error in the omission of one of the continuing data as claimed by Applicants in the application and evidenced by the attached copy of the first page of the application as filed which contains the cross-reference data and also as evidenced by the attached copy of the Combined Declaration and Power of Attorney document.

Applicants respectfully request issuance of a corrected filing receipt reporting the continuing data as follows:

**This application claims benefit of Provisional Application Serial No. 60/175,572, filed on January 11, 2000 and U. S. Application Serial No. 09/481,126, filed on January 11, 2000.**

The correction is not due any error by applicants and there fore no fee is due.

Respectfully submitted,  
CARR & STORM, L.L.P.



Paul V. Storm  
Registration No. 35,803  
Attorney for Applicants

Date: May 25, 2001

670 Founders Square  
900 Jackson Street  
Dallas, Texas 75202  
(214) 760-3032 (direct)  
File: TEQ 1117005



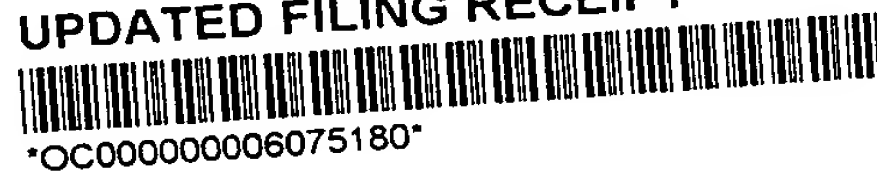
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/758,624	01/11/2001	2165	787	TEQ 1117005	4	43	7

CONFIRMATION NO. 8961

UPDATED FILING RECEIPT



\*OC000000006075180\*

219G9  
CARR & STORM, L.L.P.  
900 JACKSON STREET  
670 FOUNDERS SQUARE  
DALLAS, TX 75202

DOCKETED

*Yes*

Date Mailed: 05/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Douglas R. Elliott, St. Louis, MO;

**Domestic Priority data as claimed by applicant**

THIS APPLN CLAIMS BENEFIT OF 60/175,572 01/11/2000

**Foreign Applications**

If Required, Foreign Filing License Granted 02/26/2001

Projected Publication Date: 07/11/2002

Non-Publication Request: No

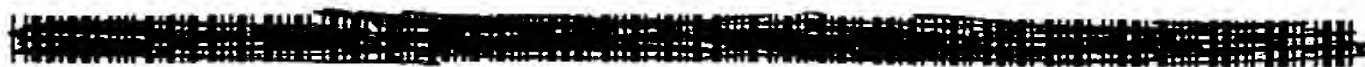
Early Publication Request: No

**\*\* SMALL ENTITY \*\***

**Title**

Method of repeatedly securitizing intellectual property assets and facilitating investments therein

**Date: 05/15/2001**



**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

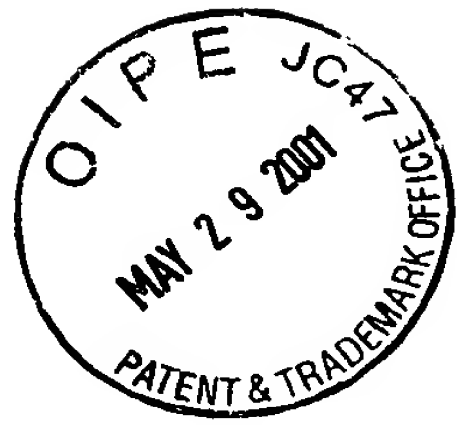
No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



**METHOD OF REPEATEDLY SECURITIZING INTELLECTUAL PROPERTY  
ASSETS AND FACILITATING INVESTMENTS THEREIN**

CLAIM OF PRIORITY

This invention claims priority to Provisional Patent  
5 Application 60/175,572 filed on January 11, 2000, and  
Utility Patent Application 09/481,126 filed on January  
11, 2000.

TECHNICAL FIELD

The present invention relates to methods of valuing  
10 assets and methods of securitizing such assets to  
facilitate investing therein. In particular, the present  
invention relates to methods of valuing and repeatedly  
securitizing multiple intellectual properties and  
facilitating investments therein.

15 BACKGROUND

An object of financial transactions is to  
efficiently relate the valuation and risk of properties  
created in the course of an enterprise to monetary sums  
which may be paid for or advanced against such  
20 properties. A primary purpose for such transactions is  
the increase in capital which may be employed to  
perpetuate further useful enterprises. Two requirements  
of financial transactions are: (a) a means by which  
providers of capital may reasonably determine whether to  
25 enter into particular financial transactions with holders  
of properties, and (b) a means for effecting the exchange  
of capital and property, respectively.

Various computational means exist that  
constitute prior art for measuring the reasonable market



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**COMBINED DECLARATION AND POWER OF ATTORNEY**

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT, SUPPLEMENTAL, DIVISIONAL,  
CONTINUATION, OR C-I-P)

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As a below named inventor, I hereby declare that:

**TYPE OF DECLARATION**

This declaration is for an original application.

**INVENTORSHIP IDENTIFICATION**

My residence, post office address and citizenship is as stated below, next to my name. I believe that I am the original, first and sole inventor of the subject matter that is claimed, and for which a patent is sought on the invention entitled:

**TITLE OF INVENTION**

**METHOD OF REPEATEDLY SECURITIZING INTELLECTUAL PROPERTY  
ASSETS AND FACILITATING INVESTMENTS THEREIN**

**SPECIFICATION IDENTIFICATION**

The specification was filed on **January 11, 2001**

Serial No.: **09/758,624**

**ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR**

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56.

**CLAIM FOR BENEFIT OF PRIOR U. S. PROVISIONAL APPLICATION(S)**

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional applications listed below:

Provisional Application No. 60/175,572, filed January 11, 2000

Non-Provisional Application No. 09/481,126, filed January 11, 2000



## POWER OF ATTORNEY

I hereby appoint the following practitioner(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Gregory W. Carr  
Paul V. Storm  
Jack D. Stone, Jr.  
Robin L. Barnes  
Roger C. Knapp

Registration Number 31,093  
Registration Number 35,803  
Registration Number 38,324  
Registration Number 45,936  
Registration Number 46,836

of the law firm of Carr & Storm, L.L.P. and  
Customer Number 021909

I hereby appoint the practitioner(s) associated with the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

### SEND CORRESPONDENCE TO

Paul V. Storm  
CARR & STORM, L.L.P.  
670 Founders Square  
900 Jackson Street  
Dallas, TX 75202

### DIRECT TELEPHONE CALLS TO:

Paul V. Storm  
(214) 760-3001

## DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Douglas R. Elliott  
Inventor's signature

Date 2/20/01

Residence

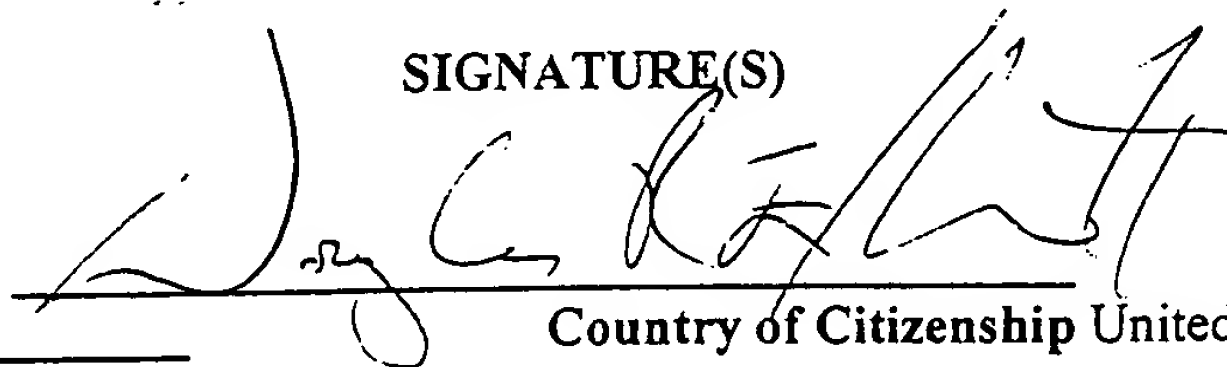
Post Office Address

St. Louis, Missouri

1412 Chesterfield Estates Dr.

St. Louis, Missouri 63005

SIGNATURE(S)



Country of Citizenship United States of America